

**GREENBLUM & BERNSTEIN, P.L.C.**  
 Intellectual Property Causes  
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 Reston, VA 20191  
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1639  
 137  
 204

Attorney Docket No. P19743In re application of Toshi TAKEDA et al.**Box Non-Fee**

Serial No. : 09/581,528  
 (National Stage of PCT/JP99/00015)

Group Art Unit : 1632

I.A. Filed : January 7, 1999

Examiner : R. Shukla

For : GENE-MUTATED ANIMAL

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

Sir:

**RECEIVED**  
 MAR 08 2002  
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Transmitted herewith is a Supplemental Preliminary Amendment in the above-captioned application.

- ☐ Small Entity Status of this application under 37 C.F.R. 1.9 and 1.27 has been established by a verified statement previously filed.
- ☐ A verified statement to establish small entity status under 37 C.F.R. 1.9 and 1.27 is enclosed.
- ☐ An Information Disclosure Statement, PTO Form 1449, and references cited.
- ☒ A Response to Paper Dated February 21, 2002 and Statement that the Content of the Paper and Computer Readable Copies are the Same, with attachments: a diskette containing Sequence Listing and paper copies of the same (12 pages); and copy of form Notice to Comply with Requirements.
- ☒ No additional fee is required.

The fee has been calculated as shown below:

Claims After Amendment	No. Claims Previously Paid For	Present Extra	Small Entity		Other Than A Small Entity	
			Rate	Fee	Rate	Fee
Total Claims: 50	*50	0	x 9=	\$	x 18=	\$0.00
Indep. Claims: 17	**17	0	x 42=	\$	x 84=	\$0.00
Multiple Dependent Claims Presented			+140=	\$	+280=	\$0.00
Extension Fees for Month				\$		\$0.00
Total:				\$	Total:	\$0.00

\*If less than 20, write 20

\*\*If less than 3, write 3

☐ Please charge my Deposit Account No. 19-0089 in the amount of \$\_\_\_\_\_.☒ A Check in the amount of \$\_\_\_\_\_ to cover the filing/extension fee is included.☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 19-0089.☒ Any additional filing fees required under 37 C.F.R. 1.16.☒ Any patent application processing fees under 37 C.F.R. 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136)(a)(3).

Bruce H. Bernstein  
 Reg. No. 29,027  
 19743

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MAR 08 2002

TECH CENTER 1600/2900



01/19/97 43.A11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Masatoshi TAKEDA et al.

Art Unit: 1632

Serial No : 09/581,528  
(National Stage of PCT/JP99/00015)

Examiner: R. Shukla

I.A. Filed : January 7, 1999

For : GENE-MUTATED ANIMAL

**RESPONSE TO PAPER DATED FEBRUARY 21, 2002  
AND  
STATEMENT THAT THE CONTENT OF THE PAPER AND  
COMPUTER READABLE COPIES ARE THE SAME**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to Comply dated February 21, 2002 (copy submitted herewith) which includes a printout indicating that the computer readable form of the sequence listing filed December 21, 2001 was not complete, Applicant submits herewith a completed version of the computer readable copy of the sequence listing. Inasmuch as the one-month period for response was set in the Notice to expire on March 25, 2002 (March 22, 2002 falling on a Saturday), this response is being filed in a timely manner. The Commissioner is hereby authorized to charge any necessary fees, such as any necessary extension of time fees, to Deposit Account No. 19-0089.

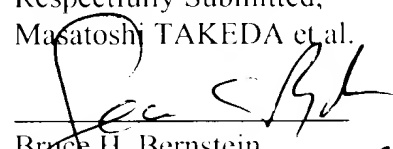
In accordance with 37 C.F.R. 1.821(f), the undersigned hereby states that the information recorded in the computer readable form is identical to the written sequence listing.

P19743.A11

Applicants hereby state that the submission, filed in accordance with 37 C.F.R. 1.821(h), herein does not include new matter.

If there are any comments or questions, the undersigned may be contacted at the below-listed telephone number.

Respectfully Submitted,  
Masatoshi TAKEDA et al.

  
\_\_\_\_\_  
Bruce H. Bernstein  
Reg. No. 29,027

*Reg No  
29,027*

March 4, 2002  
GREENBLUM & BERNSTEIN, P.L.C.  
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Reston, VA 20191  
(703) 716-1191



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
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EXAMINER
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ART UNIT	PAPER
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15

DATE MAILED:

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

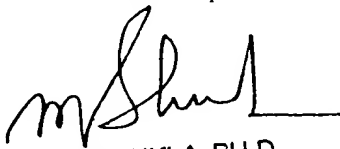
The reply filed 12-21-01 is not fully responsive to the Office communication mailed 12-6-01 for the reason(s) set forth on the attached Notice To Comply With The Sequence Rules or CRF Diskette Problem Report.

Since the above-mentioned reply appears to be bona fide, applicant is given a TIME PERIOD of ONE (1) MONTH or THIRTY (30) DAYS from the mailing date of this notice, whichever is longer, within which to supply the omission or correction in order to avoid abandonment. EXTENSIONS OF THIS TIME PERIOD MAY BE GRANTED UNDER 37 CFR 1.136(a).

When amending claims, applicants are advised to submit a clean version of each amended claim (without underlining and bracketing) according to § 1.121(c) and a copy of all the pending/under consideration claims. For instructions, Applicants are referred to <http://www.uspto.gov/web/offices/dcom/olia/aipa/index.htm>.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ram R. Shukla whose telephone number is (703) 305-1677. The examiner can normally be reached on Monday through Friday from 7:30 am to 4:00 p.m. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Deborah Clark, can be reached on (703) 305-4051. The fax phone number for this Group is (703) 308-4242. Any inquiry of a general nature, formal matters or relating to the status of this application or proceeding should be directed to the Dianiece Jacobs whose telephone number is (703) 305-3388.

Ram R. Shukla, Ph.D.

  
RAM R. SHUKLA, PH.D.  
PATENT EXAMINER

# NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):



- ☐ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☒ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

## Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support

Technical Assistance.....703-287-0200

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**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR REPLY**